

02-05-02

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Patent

Attorney Docket: 261/151

To: Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

JC828 U.S. PTO  
10/066504  
01/30/02

## NEW APPLICATION TRANSMITTAL - UTILITY

Sir:

Transmitted herewith for filing is a **utility** patent application:

**Inventor(s):** Lorraine M. Martinez, Brian Nuel, Peter Thornton, Gary Sunseri, and  
Jobert Balceta

**Title:** DISTAL FILTRATION DEVICES AND METHODS OF USE DURING  
AORTIC PROCEDURES

**I. PAPERS ENCLOSED HEREWITH FOR FILING UNDER 37 CFR § 1.53(b):**

- 18 Page(s) of Written Description  
10 Page(s) Claims  
1 Page(s) Abstract  
19 Sheets of Drawings ☒ Informal ☐ Formal

**II. ADDITIONAL PAPERS ENCLOSED IN CONNECTION WITH THIS FILING:**

- ☒ Declaration  
☒ Power of Attorney ☒ Separate ☐ Combined with Declaration  
☒ Assignment to EMBOL-X, Inc. and assignment cover sheet  
☐ Certified Copy of Priority Document No(s):  
☒ Information Disclosure Statement w/PTO 1449 ☒ Copy of Citations  
☒ Preliminary Amendment  
☐ Request and Certification under 35 U.S.C. § 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
☒ Return Postcard  
☐ Other:

**III. PRIORITY**

- ☐ Priority of application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_ in \_\_\_\_\_ is claimed under 35 U.S.C. § 119.

## CERTIFICATE OF MAILING (37 C F R §1.10)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as 'Express Mail Post Office To Addressee' in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

EV051624478US  
Express Mail Label No

January 30, 2002  
Date of Deposit

*Cynthia B Pacheco*  
Cynthia B. Pacheco

1006504-013002

JC951 U.S. PTO  
01/30/02



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**IV. THE FILING FEE HAS BEEN CALCULATED AS SHOWN BELOW:**☒ Applicant claims small entity status pursuant to 37 CFR § 1.27

<b>BASIC FILING FEE:</b>						\$740.00
Total Claims	20	-	20	=	0 x \$18.00	\$0.00
Independent Claims	5	-	3	=	2 x \$84.00	\$168.00
Multiple Dependent Claims	\$280	(if applicable)			<input type="checkbox"/>	\$0.00
<b>TOTAL OF ABOVE CALCULATIONS</b>						\$908.00
Reduction by ½ for Filing by Small Entity, if applicable, as asserted above. Note 37 CFR §§ 1.9, 1.27, 1.28.						<input checked="" type="checkbox"/> \$454.00
Misc. Filing Fees (Recordation of Assignment -- \$40)						\$40.00
<b>TOTAL FEES DUE HERewith</b>						\$494.00

**V. METHOD OF PAYMENT OF FEES**

- ☒ A check in the amount of \$494.00.
- ☐ Charge Lyon & Lyon's Deposit Account No. **12-2475** in the amount of \_\_\_\_\_.
- ☐ This application is being filed without fee or Declaration under 37 CFR § 1.53.

**VI. AUTHORIZATION TO CHARGE FEES**

The Commissioner is authorized to credit any overpayment and to charge any underpayment to Lyon & Lyon's Deposit Account No. **12-2475** for the following:

- ☒ 37 CFR § 1.16 – (Filing fees and excess claims fees)
- ☒ 37 CFR § 1.17 – (Any application processing fees)
- ☒ 37 CFR § 1.21 – (Assignment recording fees)

**VII. CORRESPONDENCE ADDRESS**

Please send all correspondence to Customer Number 22249:

**22249**

PATENT TRADEMARK OFFICE

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Please direct all inquiries to John Kappos, at the above customer number.

Respectfully submitted,

LYON & LYON LLP

Dated: January 30, 2002

By: John Kappos  
John Kappos  
Reg. No. 37,861  
Attorneys for Applicant